

4 FEB 1963

MEMORANDUM FOR: Deputy Director of Central Intelligence

THROUGH : Deputy Director (Support)

4 FEB

SUBJECT : Fitness Report Improvement Program

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1. This memorandum describes our program for improving Fitness Reports and transmits for your approval and signature a directive to senior management officials concerning their responsibilities in this regard.

2. Our program consists of three phases which can be implemented concurrently. The first phase is to monitor the administration of the Fitness Reporting system (a) to ensure that reports are prepared when due, (b) to ensure that they meet technical requirements, and (c) to provide for special review of reports showing apparent inconsistencies and those recording "Weak" or "Outstanding" ratings.

a. We have established machinery for giving 45-day advance notice to supervisors of reports due and for producing monthly rosters of overdue reports. Rosters of reports overdue 30 days or more will be sent to the operating office concerned; those overdue 60 days or more will be reported to the Deputy Director concerned. We will advise you of any report overdue 90 days or more and, unless adequate reasons have been given for the delinquency, we will prepare a letter of reprimand from you to the Operating Official concerned through his Deputy Director.

b. The monitoring of reports for compliance with technical requirements has been implemented in part. We are returning incomplete reports (those omitting items of information or required signatures) to the operating component concerned. We intend also to reject reports which show "slash" ratings (such as "Adequate/Proficient") and memoranda in lieu of Form 45 (Fitness Report) which do not contain all of the essential information and signatures required by Form 45. However, our current regulation and instructions are not explicit on these requirements and there is a lack of unanimity among responsible officials that these practices are unacceptable. Accordingly, we believe that our regulation and instructions should be amended before we institute the practice of rejecting reports for these defects. We have prepared appropriate changes and will coordinate them with the Deputy Directors through the Personnel Advisory Board. Reports which are returned to an operating component for correction will not be recorded as "received" for the purpose of determining delinquency.

c. Reports showing apparent inconsistencies are given special review. This includes, for example, an overall rating out of balance with individual duty ratings, comments of a reviewing official at substantial variance with those of the rating official, and a listing of duties which appears inconsistent with the employee's grade. "Weak" or "Outstanding" ratings also receive special review to ensure consideration of any further action which might be appropriate.

(A detailed description of the mechanics involved in this phase is attached at Tab A. Draft amendments to our regulations and instructions are at Tab B.)

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3. The second phase of our improvement program provides for coding and storing Fitness Report data in the computer to facilitate statistical analysis of results. This will help us to identify problem areas requiring further study. For example, a tabulation of ratings by component might identify a unit in which ratings are excessively high in relation to the Agency average and would prompt a review of rating practices in that unit to determine whether rating standards are being properly applied. This phase is being instituted with the coding of reports due 31 January 1963 but, because it takes a calendar year to complete a Fitness Report cycle covering all employees, it will not be fully implemented until January 1964.

4. The third phase of our program is concerned with improving the quality and integrity of Fitness Reports. Its objectives are (a) to achieve a high degree of consistency in the application of rating standards as provided in the definition of adjective rating levels, (b) to improve the content of the narrative comments of rating and reviewing officials, and (c) to improve the validity of the Fitness Report as an accurate and objective evaluation of the individual being rated. I think that it is unnecessary to elaborate for your benefit on the need for such improvements. Accomplishment of phase three will involve the qualitative review of Fitness Reports by supervisory officials who know the individuals being rated and who are familiar with the general requirements of their jobs. It will require the command leadership of each Deputy Director in the development and application of monitoring techniques appropriate to his component. We are prepared to provide staff assistance in developing suitable procedures. However, I believe that initiation of this phase requires further executive direction as expressed in the attached memorandum for your signature (Tab C).

5. This report would be incomplete without mention of two recent developments which should improve the delinquency situation. First, your recent remarks to the Senior Staff have produced a large volume of returns. We will prepare a current report of delinquencies as of 31 January and I am sure that you will see marked improvement. Second, an Agency notice [redacted] has been issued stating that a promotion recommendation will not be processed in the absence of the last Fitness Report due for the employee concerned. STATINTL

6. Your remarks concerning Fitness Reports have had an obvious impact throughout the Agency. However, I believe that the improvement program described above will be strengthened immeasurably by a further positive statement from you to the Agency's senior management echelon directing their attention to their responsibilities in this regard. This seems particularly necessary to induce the Deputy Directors to provide the leadership and monitoring machinery within their components which is required to bring about the essential improvement in integrity and consistency of reports. We therefore recommend that you sign the suggested memorandum attached at Tab C. You will note that this memorandum is addressed to the Deputy Directors but that copies are provided for those senior officials who do [redacted] Director.

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[redacted]
Emmett D. Echols
Director of Personnel

Attachments: A/S

Distribution: O&I - Addressee; 1 - ER; 1 - DCI; 1 - DD/S w/o att.; 2 - D/Pers

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PROCEDURE FOR REVIEW AND CODING OF FITNESS REPORTS AND
REPORTING OF DELINQUENT REPORTS1. Review of Fitness Reports

(These procedures apply to all grade levels. However, reports for officers in grade GS-16 or above will be handled in the office of the Director of Personnel.)

STATINTL a. Fitness Reports received in the Office of Personnel will be forwarded to the [redacted] (Room 5E1109), Personnel Operations Division where they will be reviewed by the Fitness Reports Control Clerk. Reports which are incomplete, i.e., insufficient identification of individual, type of report, period covered, or not signed by the individual, supervisor, or reviewing official without proper explanation, etc., or which are unacceptable because of multiple ratings will be returned without coding to the appropriate Placement Officer for return to the office responsible for their preparation.

b. Fitness reports in which there are (1) inconsistencies between ratings on individual duties and over-all rating, (2) major differences of opinion between supervisor and reviewing official, (3) apparent discrepancies in duties with grade of individual, (4) over-all ratings of "W" or "O" will be coded, recorded as received, and forwarded to the appropriate Placement Officer for action or information.

2. Coding of Fitness Reports

The following items will be coded in the [redacted]

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Grade	Type of report
Service designation	Rating
Reporting office	Ending date of period covered
Assignment location	Date received

On the last day of each month, paper tapes prepared from the code sheets covering all acceptable Fitness Reports received during the month will be forwarded to the Automatic Data Processing Division, Office of the Comptroller where they will be introduced into an up-dated Agency master tape prior to preparing rosters of delinquencies as of that date and of initial or annual reports due for the period ending two months from that date. Names will not appear on the rosters of employees for whom a Fitness Report of any type has been received 90 days or less prior to the end of the reporting period.

3. Advance Notice of Reports Due with Listing of Reports Past Due

a. Forty-five days before the end of each reporting period, Personnel Operations Division will forward to each operating office a roster of the individuals assigned to that office as of the beginning of the month in which the roster is prepared for whom either initial or annual Fitness Reports are required. These rosters will also list individuals for whom reports are past due.

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3. Advance Notice of Reports Due with Listing of Reports Past Due (cont'd)

b. These rosters will be arranged by division within the office and by type of report due or past due to facilitate redistribution at division level by the office concerned. The following information will be shown on the rosters:

Serial number	Grade	Type of report due
Name	Service designation	End of reporting period
Date of birth	Official position title	Date report due in O/Pers
Sex	Type of appointment	Number of months delinquent (if applicable)

4. Reports of Delinquent Fitness Reports

a. Monthly rosters of delinquent reports will be prepared for transmittal from the Director of Personnel to:

(1) Each Deputy Director - roster of reports delinquent 60 days or more; and,

(2) The Deputy Director of Central Intelligence - roster of reports delinquent 90 days or more.

These rosters will be arranged by office, number of months delinquent, and grade.

b. A tabulation of delinquent reports will be prepared from computer records each month to show the number of delinquencies by office, grade, and period of delinquency.

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Proposed Revision of FITNESS REPORT

(Note: New material has been underlined. Material to be deleted has been bracketed.)

a. POLICY

- (1) The continuous evaluation of the performance of employees by their supervisors is an essential element of the Agency's personnel management program. The results of such evaluation for staff employees and staff agents shall be recorded at least once each year.
- (2) Supervisors shall show each report of evaluation to the employee concerned except when operational circumstances, security considerations, or other unusual conditions make it impractical or ill-advised to do so. If a supervisor elects not to show the report to the employee, he shall explain in the report the reasons for his action.

b. RESPONSIBILITIES

- (1) The Director of Personnel is responsible for developing and monitoring the Agency's program for producing timely and useful records of the evaluations of employee performance.
- (2) Operating Officials and supervisors are responsible for recording and reporting evaluations of employee performance in accordance with this regulation.

c. RECORDING EVALUATIONS

- (1) FORM 45, FITNESS REPORT. Form 45, Fitness Report, shall be used to record evaluations and shall be prepared and submitted in accordance with the instructions attached to the form (Directions for Completing Form 45, Fitness Report).

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- (2) MEMORANDUM IN LIEU OF FORM 45. An evaluation in memorandum form may be substituted for Form 45 for employees in grades GS-14 and above. When a memorandum is used, care should be taken to ensure that the purposes of a Fitness Report are observed. A memorandum shall be processed in the same manner as Fitness Reports prepared on Form 45. The memorandum shall be prepared and processed in accordance with the instructions attached to Form 45.

d. SUBMISSION OF REPORTS

- (1) INITIAL REPORT. Supervisors shall prepare a Fitness Report for each employee nine months after his entrance on duty unless one has been prepared for some other reason within the previous 90 days.
- (2) ANNUAL REPORT. Supervisors shall prepare a Fitness Report for each employee annually in accordance with the schedule given in the instructions accompanying the report, unless one has been prepared for some other reason within 90 days.
- (3) REASSIGNMENT REPORT. Supervisors shall prepare a Fitness Report when the supervisor is changed by the reassignment of the employee or of the supervisor.
- (4) SPECIAL REPORTS. Supervisors shall prepare other Fitness Reports when required by special circumstances.

d. APPEALS

An employee who, after discussions with his supervisor, believes that his Fitness Report does not accurately reflect his performance may proceed in accordance with the provisions of Grievance Procedure.

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DIRECTIONS FOR COMPLETING FORM 45, FITNESS REPORT

GENERAL

1. POLICY See Attached.

It is Organization policy to inform employees of the effectiveness of their work performance. Organization policy also requires that supervisors record at least once each year their opinions and evaluations of the work performance of employees under their jurisdiction. Evaluations will also be made whenever it is necessary or desirable to provide Organization management with information which may be pertinent to future personnel actions affecting these individuals.

It outlines policies concerning the requirements for submitting initial, annual, reassignment and special reports, showing the report to the employee and appeals procedure. The Fitness Report, Form 45, is used to record evaluations. However, an evaluation in memorandum form may be substituted for Form 45 for employees in Grades GS-14 and above.

2. SUBMISSION

The Fitness Report will be submitted in duplicate to the Head of the Career Service concerned. The Head of the Career Service will retain one copy and will forward the original to the Office of Personnel.

3. INITIAL REPORT

A Fitness Report will be prepared for each employee as of nine months after his entrance on duty with the Organization. An initial report need not be made when a Fitness Report has already been made for some other purpose within 90 days prior to the due date of the initial report. The initial report is of particular importance in providing a record of the supervisor's evaluation of the employee before the employee has completed his twelve-month trial period. An initial report may be deferred for a period not to exceed 30 days beyond the due date to provide the supervisor with additional time to evaluate an employee who has been under his jurisdiction for less than 90 days.

4. ANNUAL REPORT

A Fitness Report will be prepared annually for each employee, except when a Fitness Report has been made for some other purpose within 90 days prior to the due date of the annual report. An annual report may be deferred until the employee has been under the jurisdiction of the supervisor for 90 days.

SCHEDULE FOR SUBMISSION OF ANNUAL REPORTS

DUE IN OFFICE OF PERSONNEL

GRADES	FOR PERIOD ENDING	DUE IN OFFICE OF PERSONNEL	
		FROM HEADQUARTERS	FROM FIELD
GS-1 through GS-5	31 March	30 April	31 May
GS-6 through GS-8	30 June	31 July	31 August
GS-9 through GS-11	30 September	31 October	30 November
GS-12 and GS-13	31 December	31 January	28 February
GS-14 and above	31 March	30 April	31 May

5. REASSIGNMENT REPORT

Supervisors will prepare a Fitness Report when the supervisor is changed by the reassignment of the employee or the supervisor.

When the supervisor is reassigned and has numerous reassignment reports to prepare he needs to complete only Section B of the report.

DIRECTIONS FOR COMPLETING FORM 45, FITNESS REPORT

SECTION A — GENERAL

The items of this section should be completed by the appropriate administrative or personnel officer. Special instructions for completing or omitting items of this part of the report should be carefully observed on Field Transmittal — Fitness Report, Form 45a.

SECTION B — EVALUATION OF PERFORMANCE OF SPECIFIC DUTIES AND OF OVERALL PERFORMANCE

Rating Scale

The rating scale as set forth in this section in Form 45, Fitness Report, is to be used to reflect evaluation of Specific Duties and of Overall Performance.* In making your selection of the adjective evaluation for Section B and in completion of the narrative in Section C the following factors should be considered as appropriate:

Cost Consciousness	Mobility
Security Consciousness	Initiative
Ability to Think Clearly	Versatility
Supervisory Effectiveness	Productivity
Acceptance of Responsibility	Decisiveness
Foreign Language Competence	Resourcefulness
Effectiveness of Oral Expression	Cooperativeness
Effectiveness of Written Expression	Records Discipline

Rating of Performance of Specific Duties

In this section the supervisor will list in order of importance the most significant duties the employee has performed during the rating period. Each duty shall be described in sufficient detail to provide information which may be useful later in considering individuals for other assignments. Your evaluation should be recorded by entering the appropriate letter in the box provided for your evaluation of each duty.

Rating of Overall Performance in Current Position

In making this rating the supervisor should take into account the employee's conduct on the job as well as his performance on all specific duties. Each supervisor will weigh these factors in his own mind so as to arrive at a rating which will reflect an employee's overall value on the job.

SECTION C — NARRATIVE COMMENTS

In this section the supervisor describes the employee's demonstrated abilities or deficiencies in the performance of his present job. ~~This may include comments regarding a specific duty by direct reference to that duty.~~ Any relatively high or low

ratings in Section B should be explained or amplified by supporting statements. In addition, the supervisor may comment here on any extenuating circumstances which affect the productivity and effectiveness of the employee. Comment should be made on the relative performance of the person being rated with other people known to the rater doing comparable work. In commenting on the manner of performance of managerial or supervisory responsibilities, abilities and skills in such as the following should be considered:

Delegation of responsibility
Establishment and maintenance of clear lines of authority
Use of personnel, space, equipment, funds, etc.
Formulation and coordination of programs
Developing teamwork

In completing the ratings on Career-Provisional employees comment should be made on the intent, capability and desire of the individual to fulfill the service obligations of the Career Service to which he is assigned.

SECTION D — CERTIFICATION AND COMMENTS

The person being rated may attach to his fitness report a memorandum concerning any part of the report. The memorandum will be attached to the original for inclusion in the Official Personnel Folder.

Reviewing officials are responsible for assuring that all reports made by rating officials under their jurisdiction are consistent and reflect uniform standards of reporting. Through the counseling and supervision of rating officials, reviewing officials can play a major role in improving the operation of the Fitness Report program.

In addition, reviewing officials should as a matter of practice submit a brief narrative evaluation of the performance and potential of the individual being rated, noting the degree to which he is personally familiar with the individual and his work. Even though the reviewing official may not be able to evaluate the individual from firsthand experience with him, it is likely that the reviewing official may be able to contribute useful information concerning future utilization or training of the individual based on the review of his record of performance and assignments.

If the reviewing official is in substantial disagreement with the rating official he should state whether or not he has discussed the evaluation with the rating official and the employee.

When a person departs an overseas station without having been shown his Fitness Report, it is incumbent upon the Career Service to have the report shown to the individual.

* Use a single rating letter without the addition of decimals, plus or minus signs, or other modifications. In making your selection of the adjective evaluation for Section B and in completion of the narrative in Section C the following factors should be considered as appropriate:

* Full narrative comments should be made on each appropriate element. Statements such as "no change from previous report" will not be used. The narrative comments may include reference to a specific duty.

Proposed Revision of Directions for Completing Form 45, Fitness Report

1. POLICY

It is Organization policy to inform employees of the effectiveness of their work performance. Organization policy also requires that supervisors record at least once each year their opinions and evaluations of the work performance of employees under their jurisdiction. Evaluations will also be made whenever it is necessary or desirable to provide Organization management with information which may be pertinent to future personnel actions affecting these individuals. outlines policies concerning the requirements for submitting initial, annual, reassignment and special reports, showing the report to the employee and appeals procedure. The Fitness Report, Form 45, is used to record evaluations. However, an evaluation in memorandum form may be substituted for Form 45 for employees in Grades GS-14 and above. Care must be taken to insure that the memorandum observes the basic purposes of a Fitness Report. It must contain the identifying information required in Section A of Form 45, a general description of the duties performed, and one rating, from among those defined in Section B of Form 45, to describe the employee's overall performance in his current position. It must also bear the signature of the supervisor and the reviewing official and must either be signed by the employee or contain an explanation for the absence of his signature.

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